

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: PRESSURE BIOSCIENCES, INC.

Application No./Patent No.: 10/770,241

Filed/Issue Date: 02-02-2004

Entitled: RAPID CRYOBARIC STERILIZATION AND VACCINE PREPARATION

PRESSURE BIOSCIENCES, INC.

(Name of Assignee)

, a CORPORATION

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: INVENTORS

To: BBI BIOSEQ, INC.

The document was recorded in the United States Patent and Trademark Office at

Reel 014958, Frame 0713, or for which a copy thereof is attached.

2. From: BBI BIOSEQ, INC.

To: PBI BIOSEQ, INC.

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: PBI BIOSEQ, INC.

To: PRESSURE BIOSCIENCES, INC.

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Catherine M. McCarty/

Signature

December 12, 2008

Date

Catherine M. McCarty

617-395-7000

Printed or Typed Name

Telephone Number

Patent Attorney

Title

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

D
PC

The Commonwealth of Massachusetts

William Francis Galvin
Secretary of the Commonwealth
One Ashburton Place, Boston, Massachusetts 02108-1512

FORM 1001 (REV. 10/93)

Articles of Amendment

FORM MUST BE TYPED

(General Laws, Chapter 156D; Section 10.06; 950 CMR 113.33)

Exact name of corporation: BBI BioSeq, Inc.

Registered office address: 375 West Street, West Bridgewater, MA 02379

(number, street, city or town, state, zip code)

These articles of amendment affect article(s): One

(specify the number(s) of article(s) being amended (I-VII))

Adopted and approved on: _____ by
(month, day, year)

Check the appropriate box below:

- ☐ the incorporators.
☐ the board of directors without shareholder approval and shareholder approval was not required.
☒ the board of directors and the shareholders in the manner required by law and the articles of organization.

State the article number and the text of the amendment. If the amendment authorizes an exchange, or effects a reclassification or cancellation, of issued shares, state the provisions for implementing the action unless contained in the text of the amendment.

12/14/94

To change the number of shares and the par value (if any)* of any type, or to designate a class or series, of stock, or change a designation of class or series of stock, which the corporation is authorized to issue, complete the following:

The total presently authorized is:

WITHOUT PAR VALUE		WITH PAR VALUE		
TYPE	NUMBER OF SHARES	TYPE	NUMBER OF SHARES	PAR VALUE

Change the total authorized to:

WITHOUT PAR VALUE		WITH PAR VALUE		
TYPE	NUMBER OF SHARES	TYPE	NUMBER OF SHARES	PAR VALUE

The foregoing amendment(s) will become effective when these Articles of Amendment are filed in accordance with General Laws, Chapter 156D, § 1.25 unless these articles specify, in accordance with the vote adopting the amendment a later effective date not more than ninety days after such filing, in which event the amendment will become effective on such later date.

Later effective date: _____

The Commonwealth of Massachusetts

William Francis Galvin
Secretary of the Commonwealth
One Ashburton Place, Boston, Massachusetts 02108-1512

Attachment Sheet

Articles of Amendment

BBI BioSeq, Inc.

ARTICLE I: The name by which the corporation shall be known: PBI BioSeq, Inc.

Signed by

Robert P. Behrman, Director & Jacobson

(Please check appropriate box)

- ☐ Chairman of the Board
☒ President
☐ Other Officer
☐ Court-appointed fiduciary

on this

1st

day of January

, 2005

COMMONWEALTH OF MASSACHUSETTS

913779

William Francis Galvin
Secretary of the Commonwealth
One Ashburton Place, Boston, Massachusetts 02108-1512

Articles of Amendment
(General Laws, Chapter 156D, Section 10.06)

I hereby certify that upon examination of these Articles of Amendment, it appears that the provisions of the General Laws relative thereto have been complied with, and the filing fee in the amount of \$ 100 having been paid, said articles are deemed to have been filed with me this

1 day of Feb 20 05 at 1:40 a.m./p.m.
time

Effective date: _____

William Francis Galvin

WILLIAM FRANCIS GALVIN
Secretary of the Commonwealth

KK
Examiner

JK
Name approval

C

M

TO BE FILLED IN BY CORPORATION

Contact Information:

Ann C. Meltzer, c/o Brown Rudnick Berlack Israels LLP

One Financial Center

Boston, Massachusetts 02111

Telephone: (617) 856-8200

Email: _____

A copy of this filing will be available on-line at www.sec.state.ma.us/cor once the document is filed.

ASSIGNMENT

For valuable consideration, PBI BIOSEQ, INC., a corporation of Massachusetts having a place of business at 14 Norfolk Avenue, South Easton, MA 02375; and its successors and assigns (collectively hereinafter called "the Assignor); hereby assigns to PRESSURE BIOSCIENCES, INC., a corporation of Massachusetts having a place of business at 14 Norfolk Avenue, South Easton, MA 02375 (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of patents and patent applications listed on Schedule A and including said patents, applications, and any and all continuations, continuations-in-part, and divisional applications, and any and all United States and foreign patents (including reissues, reexaminations, extensions), utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing dates of said applications under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and Assignor hereby declares its acceptance of said assignment.

PRESSURE BIOSCIENCES, INC.



(signature)

Name: RICHARD T. SCHUMACHER

Title: CEO

Witnessed by:

Name: 

Date: 10/23/08

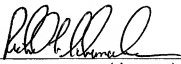
Name: Joseph Densie

Date: 10/23/08

In witness whereof, Assignor has caused this Assignment to be signed in its corporate name by its duly authorized officers.

PBI BIOSEQ, INC..

DATE: October 23, 2008


(signature)

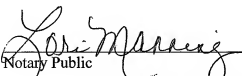
Name: Richard T. Schumacher

Title: President

STATE OF Mass)
COUNTY OF Plymouth) SS.

On 10/23/08, before me, the undersigned, a notary public for the State of ma, there personally appeared Richard Schumacher personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to this Assignment, who acknowledged having executed the same in his authorized capacity and that by his signature on this Assignment, the person or the entity upon behalf of which he acted, executed this Assignment.

WITNESS my hand and official seal.


Notary Public
exp. 11/16/14

SCHEDULE A

Client-Matter #:	Application #:	Filing Date:	Patent #:	Issue Date:
P2028-7000 10	10/134054	26-Apr-2002		
P2028-7003 30	08/793213	28-Oct-1997	6036923	14-Mar-2000
P2028-7005 US	09/214250	01-Jul-1997	6635469	21-Oct-2003
P2028-7007 19	08/903615	30-Jul-1997	6245506	12-Jun-2001
P2028-7011 19	08/962280	31-Oct-1997	6111096	29-Aug-2000
P2028-7015 30	09/010892	22-Jan-1998	6127534	03-Oct-2000
P2028-7017 30	09/016062	30-Jan-1998	6274726	14-Aug-2001
P2028-7018 10	09/035652	05-Mar-1998	6258534	10-Jul-2001
P2028-7020 31	09/083651	22-May-1998	6120985	19-Sep-2000
P2028-7025 30	09/165829	02-Oct-1998	6270723	07-Aug-2001
P2028-7029 20	10/770241	02-Feb-2004		
P2028-7029 30	09/924266	07-Aug-2001	6696019	24-Feb-2004